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Proposed programme budget for the biennium 2012-2013

Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations

Revised estimates relating to the proposed programme budget for the biennium 2012-2013 under section 29D, Office of Central Support Services, and section 30, Office of Information and Communications Technology, related to the organizational resilience management system: emergency management framework

Eleventh report of the Advisory Committee on Administrative and Budgetary Questions on the proposed programme budget for the biennium 2012-2013

I. Introduction

1. The Advisory Committee on Administrative and Budgetary Questions has considered the report of the Secretary-General on revised estimates relating to the proposed programme budget for the biennium 2012-2013 under section 29D, Office of Central Support Services, and section 30, Office of Information and Communications Technology, related to the organizational resilience management system: emergency management framework (A/66/516). During its consideration of the report, the Committee met with representatives of the Secretary-General, who provided additional information and clarification.

2. The Advisory Committee notes that the report of the Secretary-General on the emergency management framework should be read in conjunction with his report on enterprise information and communications technology initiatives for the United Nations Secretariat (A/66/94), which provides more detail on the information technology aspects of emergency management. The Committee's related report will be submitted separately for consideration by the General Assembly.

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3. The report of the Secretary-General was submitted in response to General Assembly resolution 64/260, in which the Assembly requested the Secretary-General to develop a comprehensive emergency management framework that would draw upon international best practices, and to resolution 65/290, in which the Assembly endorsed the recommendation of the Advisory Committee that the organizational resilience functions in the Departments of Peacekeeping Operations and Field Support be reviewed.

4. **The Advisory Committee regrets that the report of the Secretary-General does not respond fully to the request of the General Assembly in its resolution 64/260, in which it called for the development of a comprehensive emergency management framework. In the Committee's view, and as explained in more detail in the paragraphs below, the organizational resilience management system proposed by the Secretary-General cannot be regarded as comprehensive because the full scope of its application has not yet been determined and the full quantum of resources required for its operation is not yet known. While it recognizes the difficulty of bringing a series of discrete initiatives, developed and implemented by different departments and offices and funded from various sources, into one cohesive whole, the Committee considers that greater efforts should have been made to map out the final shape and size of the organizational resilience management system, even if some of its elements are not yet ready for full implementation. It is with these observations in mind that the Committee has made the recommendations on resource requirements set out in the paragraphs below.**

II. Organizational resilience management system: aim, implementation modalities and perspectives for system-wide application

5. In his report, the Secretary-General indicates that existing emergency preparedness efforts in the Secretariat consist of separate planning initiatives led by individual departments with specialized expertise in relevant areas (the Department of Safety and Security for safety and security emergency operations; the Department of Management for business continuity planning, staff and victim support and medical planning; and the Office of Information and Communications Technology for information technology disaster recovery planning). He explains that the aim of the proposed new organizational resilience management system is to institutionalize a comprehensive framework under which those separate initiatives can be coordinated and integrated, taking into account their relationships, linkages and mutual dependencies. On a practical level, the system would allow for the establishment of workflows and procedures for common processes of individual emergency management and preparedness activities, such as risk assessment, the development of risk management actions and plan maintenance, exercise and review, resulting in a more efficient use of time and resources and improved crisis response effectiveness (A/66/516, paras. 5-9).

6. The Secretary-General states that the proposed organizational resilience management system is based on a standard approved by ASIS International, a non-profit professional society dedicated to increasing the effectiveness and productivity of security professionals (A/66/516, footnote 1). Upon enquiry, the

Advisory Committee was informed that the Department of Safety and Security had introduced the standard, which represents a management system approach to emergency preparedness, in 2009. The ASIS approach, which also encompasses humanitarian disaster response, was in line with the International Standards Organization (ISO) methodology and was regarded as ideal for the integration of all elements of emergency management within the Secretariat. As indicated in paragraph 10 of the report, the implementation of the system involves five consecutive steps: (a) policy establishment, (b) planning, (c) implementation, (d) evaluation and (e) management review.

7. In his report, the Secretary-General indicates that the senior emergency policy team, which is responsible for emergency management policy decisions, initiated the five-step cycle by approving, in June 2010, an organizational resilience management system policy and the development of a pilot system focused on United Nations Headquarters in New York. A development group was established to elaborate the system (A/66/516, para. 12). The Advisory Committee was informed that the development group brought together representatives of various Secretariat departments, as well as of the agencies, funds and programmes, and was led by the Business Continuity Management Unit of the Department of Management. The group was responsible for implementing the pilot project at Headquarters.

8. As indicated in paragraphs 13 and 14 of the report, the development group conducted the planning and implementation steps of the five-step cycle, which consisted of establishing the objectives of the organizational resilience management system, conducting a risk and impact assessment, analysing priority risks and deriving related risk management actions. The group also assigned roles and responsibilities and drew up a maintenance, evaluation and review programme for 2011-2012. Subsequently, in November 2010, the senior emergency policy team conducted the fifth and final step of the cycle when it reviewed the organizational resilience management system and endorsed it as the emergency management framework for the United Nations. The Advisory Committee notes from paragraph 15 of the report that, in parallel, a pilot project for the implementation of the system in field locations was conducted by the Department of Political Affairs, the Department of Peacekeeping Operations and the Department of Field Support in close coordination with the Department of Management. A training course for 22 field staff from 15 missions was conducted in April 2011.

9. The roles and responsibilities of the various departments and offices in the development and implementation of the organizational resilience management system are described in section IV of the report of the Secretary-General and can be summarized as follows:

(a) Department of Management: serves as the lead department for the system and is responsible for developing, coordinating and integrating policy, planning, implementation and review procedures and processes. It is also responsible for providing implementation assistance to other Secretariat departments and offices in New York, as well as offices away from Headquarters and regional commissions. Upon request, the Department will provide implementation assistance to field operations;

(b) Business Continuity Management Unit, Office of Central Support Services: responsible for providing guidance and hands-on support for the business

continuity planning process at Headquarters, offices away from Headquarters and the regional commissions;

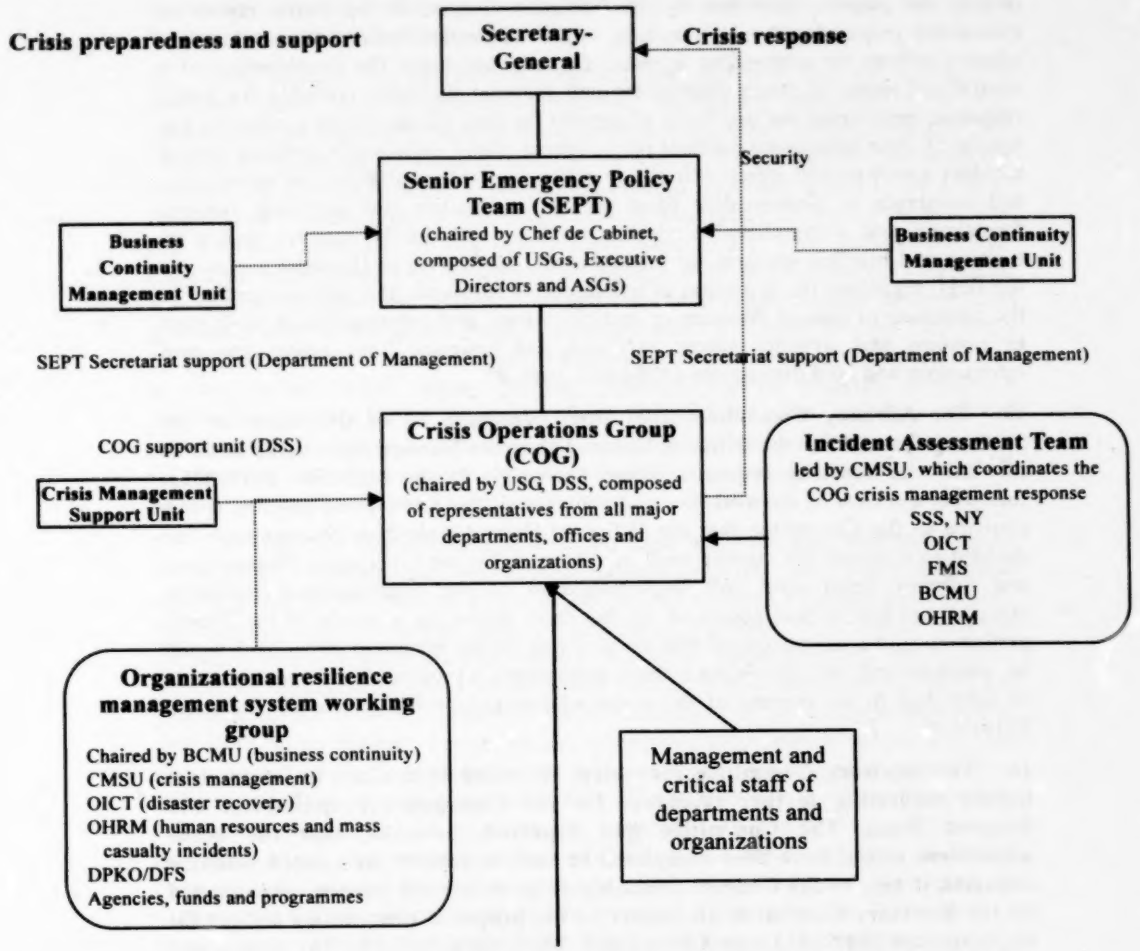
(c) Emergency Preparedness and Support Team, Office of Human Resources Management: charged with establishing human resources management mechanisms in the event of emergencies involving United Nations staff members. The Team's role is to coordinate, enable and guide the various entities of the United Nations system on all matters relating to emergency preparedness and support prior to, during and after a crisis. It also serves as the communications hub for the Organization on all issues relating to staff and their dependants and to victims and survivors of crisis situations (see also paras. 11-14 below);

(d) Medical Services Division, Office of Human Resources Management: responsible for providing all United Nations duty stations with policy, guidance, support and training on public health emergencies and mass casualty incidents;

(e) Department of Safety and Security: oversees the security management system, including security planning and its integration into the organizational resilience management system. The Division of Headquarters Safety and Security Services of the Department also provides crisis planning capabilities and is responsible for crisis management plans and security and contingency plans for Headquarters, offices away from Headquarters and the regional commissions;

(f) Office of Information and Communications Technology: responsible for establishing broad disaster recovery principles and developing a related programme of work.

10. Upon request, the Advisory Committee was provided with the following diagram showing the relationships between the various actors in the organizational resilience management system:


Crisis preparedness and support
Secretary-General
Crisis response
Security
Senior Emergency Policy Team (SEPT)
(chaired by Chef de Cabinet, composed of USGs, Executive Directors and ASGs)
Business Continuity Management Unit
Business Continuity Management Unit
SEPT Secretariat support (Department of Management)
SEPT Secretariat support (Department of Management)
COG support unit (DSS)
Crisis Management Support Unit
Crisis Operations Group (COG)
(chaired by USG, DSS, composed of representatives from all major departments, offices and organizations)
Incident Assessment Team
led by CMSU, which coordinates the COG crisis management response
SSS, NY
OICT
FMS
BCMU
OHRM
Organizational resilience management system working group
Chaired by BCMU (business continuity)
CMSU (crisis management)
OICT (disaster recovery)
OHRM (human resources and mass casualty incidents)
DPKO/DFS
Agencies, funds and programmes
Management and critical staff of departments and organizations

Abbreviations: ASG: Assistant Secretary-General; BCMU: Business Continuity Management Unit; CMSU: Crisis Management Support Unit; DFS: Department of Field Support; DM: Department of Management; DPKO: Department of Peacekeeping Operations; DSS: Department of Safety and Security; FMS: Facilities Management Service; OHRM: Office of Human Resources Management; OICT: Office of Information and Communications Technology; SSS: Security and Safety Service; USG: Under-Secretary-General.

11. With particular reference to the Emergency Preparedness and Support Team, the Advisory Committee recalls that the Team was established in May 2010 pursuant to General Assembly resolution 64/260. At that time, the Assembly approved two P-5, one P-4, one P-2 and one General Service (Other level) positions funded under general temporary assistance. Upon enquiry, the Committee was informed that the P-5 and P-4 positions had been filled and that the recruitment process for the General Service (Other level) position would soon be completed.

12. The Advisory Committee was further informed that, during the biennium 2010-2011, the Emergency Preparedness and Support Team had been working to

deliver the outputs identified by the Secretary-General in his initial report on emergency preparedness, which include: improved preparedness at duty stations and country offices for responding to mass casualty incidents; the development of a centralized roster of stress counsellors and regional facilities available for initial response; monitoring and provision of support for duty stations in the evaluation and testing of their emergency medical preparedness plans; continually updated lists of incident survivors and affected family members; reliable availability of information and assistance to post-incident focal points for families and surviving victims; formalized and comprehensive victim, survivor and family support strategies; training and briefing sessions for managers and staff, both at Headquarters and in the field, regarding the provision of assistance to survivors and family members in the aftermath of natural disasters or malicious acts; and communication tools such as e-rooms and websites where survivors and assigned focal points can post information and hold discussions (A/64/662, para. 8).

13. The Advisory Committee notes from paragraph 23 of the report of the Secretary-General that the Office of Human Resources Management intends to come forward with resource requests, where necessary, in the biennium 2014-2015, following a review of the workflow and activities of the Team. Upon enquiry, it was clarified to the Committee that the Office of Human Resources Management had decided to maintain the current level of resources for the Emergency Preparedness and Support Team until full implementation of the organizational resilience management system was approved. At that time, following a review of the Team's performance, it was anticipated that its activities for the biennium 2014-2015 would be scaled up and that, following a needs assessment, a proposal for resources would be submitted in the context of the proposed programme budget for the biennium 2014-2015.

14. **The Advisory Committee recognizes the need to conduct an assessment before requesting further resources for the Emergency Preparedness and Support Team. The Committee had expected, however, that the needs assessment would have been completed in time to submit the related resource requests, if any, to the General Assembly at its sixty-sixth session, as indicated by the Secretary-General in his report on the proposed programme budget for the biennium 2012-2013 (see A/66/6 (Sect. 29C), para. 29C.13). The Committee recommends that, in order to provide the Assembly with a complete picture of the scope of the organizational management system at the earliest possible opportunity, information on the outcome of the needs assessment for the Emergency Preparedness and Support Team should be included in the follow-up report on the emergency management framework that is to be submitted to the Assembly at its sixty-seventh session (see para. 15 below). Any related resource requirements should then be submitted for consideration in the context of the proposed programme budget for the biennium 2014-2015.**

15. The Advisory Committee notes from paragraphs 28 to 30 of the report of the Secretary-General that experience gained during the inter-agency pandemic planning and business continuity planning exercises points to the potential value of adopting a common emergency management framework, based on the organizational resilience management system, that would cover the whole United Nations system. The Secretary-General proposes to submit to the General Assembly at its sixty-seventh session a follow-up report summarizing the progress made in the implementation of the organizational resilience management system in the

Secretariat and introducing a more comprehensive framework, including for United Nations agencies, funds and programmes.

16. Upon enquiry, the Advisory Committee was informed that the specialized agencies, funds and programmes regarded emergency planning as a key management responsibility and, as such, dedicated resources to early warning and contingency planning activities commensurate with their mandates for humanitarian response. At the headquarters level, United Nations agencies tended to have core-funded preparedness units as one component of emergency-focused divisions. The role of those units was to mainstream early warning and early action into their respective organizations and to support planning activities, particularly in the field. The specialized agencies, funds and programmes with predominantly humanitarian mandates, such as the World Food Programme and the United Nations Children's Fund (UNICEF), also tended to have emergency preparedness and response officers at the regional level, whose primary function was to support emergency preparedness activities at country offices. In addition, the activities of the Inter-agency Standing Committee Sub-Working Group on Preparedness and Contingency Planning served to strengthen collaboration among humanitarian actors and support to effective humanitarian response.

17. The Advisory Committee was also provided, upon request, with information on the status of engagement with United Nations agencies, funds and programmes regarding the implementation of the organizational resilience management system. The Committee was informed that, as the primary resource for technical business continuity management knowledge within the United Nations system, the Business Continuity Management Unit communicated frequently with the agencies, funds and programmes and had contributed to the establishment of an informal network of staff working on business continuity and emergency preparedness issues. The Unit also provided advice to United Nations system entities on emergency preparedness integration, advocating an organizational resilience framework, wherever possible, and was in the process of migrating its community of practice to a new social network platform that could include the participation of the staff from all United Nations agencies, funds and programmes. The Unit had also developed, in conjunction with the Department of Peacekeeping Operations, the Department of Field Support and the Department of Political Affairs, a methodology for the implementation of crisis management and business continuity capabilities in peacekeeping operations and special political missions. From the outset, focal points from the agencies, funds and programmes had been invited to participate in all in-country training sessions in order to ensure a coordinated approach across all entities of the United Nations system.

18. The Advisory Committee was further informed that the Emergency Preparedness and Support Team was in discussions with UNICEF, the United Nations Development Programme, the United Nations Population Fund and other agencies, funds and programmes regarding the development, using the Team's capacity-building initiative and training tools, of a support programme encompassing risk-based preparedness and emergency and post-emergency response. The Team was developing guidelines for the United Nations system on mass casualty incident response and was assisting with the implementation of a related training course. In addition, through an inter-agency mechanism, the Team was responsible for coordinating the deployment of the United Nations Medical Emergency Team, and was also engaged in establishing a roster of stress counsellors

and regional facilities from entities outside the United Nations system in order to plan for surge requirements. The Team also coordinated efforts with other Secretariat and inter-agency groups responsible for examining and developing policies relating to survivors and family members.

19. **The Advisory Committee notes the efforts made thus far to establish inter-agency cooperation mechanisms relating, in particular, to business continuity management and emergency preparedness. Given that the General Assembly, in its resolution 64/260, requested the Secretary-General to submit a comprehensive emergency management framework, the Committee regrets that he did not explore the system-wide application of the organizational resilience management system in more depth in his report on the emergency management framework. The Committee expects that the follow-up report to be submitted to the Assembly at its sixty-seventh session will present a full picture of the measures taken and envisaged to extend the scope of the organizational resilience management system to cover the agencies, funds and programmes of the United Nations system, including any financial and administrative implications.**

III. Practical application of the organizational resilience management system and related resource requirements

20. The Secretary-General indicates in his report that, as part of the pilot implementation of the organizational resilience management system, the risk assessment produced by the development group was endorsed by the Secretariat crisis management structure (A/66/516, para. 31). On a practical level, the risk assessment identified two key management actions that need to be taken in order to mitigate risks to the Organization. Those actions are: (a) the continued maintenance of the secondary data centre in Piscataway, New Jersey; and (b) the procurement of specialized software to enable the ongoing maintenance of the different emergency preparedness plans that fall within the framework of the organizational resilience management system (A/66/516, para. 32).

Secondary data centre

21. Background information on the establishment of the secondary data centre and the role it has played to date is contained in paragraphs 33 and 34 of the report of the Secretary-General. In paragraphs 35 and 36, the Secretary-General describes the future role he envisages for the centre and proposes that, once the enterprise-critical systems currently hosted at the secondary data centre are migrated to the enterprise data centre(s) (see A/66/94 for a more detailed discussion of this proposal), the secondary data centre should remain in service to support site-specific applications and strengthen organizational resilience at Headquarters. The Secretary-General indicates it will take an estimated two years to migrate the current list of enterprise-critical applications to the enterprise data centre(s). Thereafter, he believes that it will be possible to reduce the size and cost of the secondary data centre. Upon enquiry, the Committee was informed that, at present, all critical systems operated at Headquarters — a total of 13 systems — were backed up at the secondary data centre. The establishment of the enterprise data centre(s), if approved, would reduce the number of systems requiring back-up at the secondary data centre to those which

must be hosted locally or close to their users. It was anticipated that seven systems would fit those criteria.

22. The Advisory Committee recalls that, in its resolution 65/259, the General Assembly endorsed the request of the Secretary-General to enter into the optional 30-month lease extension for the secondary data centre facility. The lease extension covers the period from 1 January 2012 to 30 June 2014. The total projected resource requirements for the Centre's operational costs for the period of the lease extension amount to $5,271,000. As indicated in paragraphs 38 to 44 of the report, funding for the establishment of the secondary data centre and its operation until the end of 2011 has been provided jointly under the budget of the capital master plan and the support account for peacekeeping operations. The Secretary-General proposes to meet the centre's operational costs from the regular budget and the support account. He also proposes to maintain the current cost-sharing arrangement for the secondary data centre, whereby 80 per cent of the costs are met from the regular budget and the remaining 20 per cent from the support account on the basis of the proportion of the centre's capacity that is used for non-peacekeeping and peacekeeping operations. A breakdown of the requirements by object of expenditure and funding source is set out in table 4 of the report of the Secretary-General.

23. In paragraph 59 (a) of his report, the Secretary-General requests that the General Assembly consider providing resources in the amount of $2,898,300 for the operation of the secondary data centre for the biennium 2012-2013. In paragraph 60, the Secretary-General indicates that those additional resource requirements would be considered in accordance with the provisions governing the contingency fund. **The Advisory Committee recommends acceptance of the proposal of the Secretary-General.**

Software for maintenance of emergency preparedness plans and the staff accounting system

24. According to the Secretary-General, the lack of an automated system to maintain common components of separate preparedness plans, as well as the limited scope of the current emergency staff notification system, also present risks for the Organization. The Advisory Committee notes that the need for a system to account for all staff based in New York in a crisis was identified as a requirement during the "lessons learned" review of the Haiti crisis response and from recent events in North Africa. In paragraphs 46 to 49 of his report the Secretary-General indicates that, at present, the Department of Safety and Security generally relies on broadcast e-mail, an automated message on a staff information hotline and a static website to transmit crisis information to staff. In order to ensure that all New York-based staff can be contacted in the event of an emergency, and while a global solution is being considered, the Secretary-General is proposing to expand the current emergency staff notification system using the suite of available telecommunications devices, including personal mobile phones and e-mail. He is also proposing to procure specialized software that will allow for the automated maintenance of all the information contained in preparedness plans, including staff contact data.

25. Upon enquiry, the Advisory Committee was informed that neither the new enterprise resource planning system, Umoja, nor the talent management system, Inspira, had the capability to provide for the automated maintenance of preparedness plans. Consequently, any software system procured to maintain emergency plans

must be able to interface with relevant Umoja databases in order to provide automated access to the most up-to-date information as part of existing corporate workflows.

26. The regular budget resources required for software for 2012-2013 are detailed in table 5 of the report of the Secretary-General. In paragraph 59 (b) of that report, the Secretary-General requests that the General Assembly consider providing one-time resources in the amount of $68,000 for contractual services and $95,000 for the acquisition of software, as well as recurrent resources in the amount of $80,000 for software maintenance and system testing. In paragraph 60, the Secretary-General indicates that those additional resource requirements would be considered in accordance with the provisions governing the contingency fund. **The Advisory Committee recommends acceptance of the Secretary-General's proposal.**

27. The Advisory Committee notes that the proposals outlined in paragraphs 21 to 26 above are two of a number of proposals requesting a charge against the contingency fund that the Secretary-General has made since the submission of his proposed programme budget for the biennium 2012-2013.

IV. Request for the establishment of posts for business continuity

28. In part VI of his report, the Secretary-General proposes to convert five positions currently funded under general temporary assistance — three (1 P-5, 1 P-4 and 1 General Service) in the Business Continuity Management Unit and a further two (1 P-4 and 1 General Service) in the Office of the Chief of Staff of the Department of Peacekeeping Operations/Department of Field Support — to established posts. In support of his proposal, the Secretary-General asserts that the effective maintenance of business continuity programmes and capabilities requires a more permanent and dedicated set-up in order to embed business continuity management into the culture of the Organization and thereby enhance its resilience.

29. Referring specifically to the Business Continuity Management Unit, the Secretary-General states that, since its establishment, the tasks of the Unit have been extended to include the provision of support and guidance regarding the implementation of organizational resilience at the United Nations. With regard to the conversions requested for the Office of the Chief of Staff of the Department of Peacekeeping Operations/Department of Field Support, the Secretary-General explains that those Departments have sole responsibility for implementing business continuity within their headquarters and field operations. The evolution and proper implementation of the organizational resilience management system will require greater coordination of emergency preparedness plans, in particular within field operations, as well as the development and oversight of related training and exercise programmes.

30. **While the Advisory Committee considers that dedicated staff capacity might be needed on an ongoing basis to oversee the implementation and maintenance of an organizational resilience management system, it is nevertheless of the view that it is premature to establish such capacity before the full scope of the system, including the resource requirements, is known. The Committee therefore recommends against the conversion to established posts of the three positions in the Business Continuity Management Unit at this time.**

31. With regard to the two positions in the Office of the Chief of Staff of the Department of Peacekeeping Operations/Department of Field Support, the Advisory Committee notes that they are currently funded from the support account for peacekeeping operations, and that their conversion to established posts is proposed effective 1 July 2012. **Accordingly, bearing in mind its observations in paragraph 30 above and with regard to the action requested in paragraph 61 (f) of the Secretary-General's report, the Committee recommends that the General Assembly request the Secretary-General to resubmit his proposal in the appropriate context, namely as part of the proposed budget for the support account for peacekeeping operations for the financial period from 1 July 2012 to 30 June 2013.**

V. Conclusion

32. The action to be taken by the General Assembly in connection with the proposed emergency management framework is set out in paragraph 61 of the report of the Secretary-General. **Bearing in mind its observations and recommendations in paragraphs 4, 14, 19, 23, 26, 30 and 31 above, the Advisory Committee recommends that the General Assembly:**

(a) **Approve the organizational resilience management system approach as the emergency management framework, on the understanding that the follow-up report to be submitted to the Assembly at its sixty-seventh session will present a complete picture of the scope of the system, as well as the related resource requirements;**

(b) **Approve the total estimated cost of the extended lease of the secondary data centre in Piscataway, New Jersey, for 30 months beyond 31 December 2011, as endorsed by the Committee in its report on information and communications technology (A/65/576), pending the further work required before the implementation of the proposed plan and without prejudice to the outcome of the Committee's consideration of future reports on the issue;**

(c) **Appropriate a total amount of $3,141,300 under the proposed programme budget for the biennium 2012-2013, comprising increases under section 29D, Office of Central Support Services ($243,000), and section 30, Office of Information and Communications Technology ($2,898,300), with the provision representing a charge against the contingency fund;**

(d) **Note that the regular budget portion of the future remaining requirements of the secondary data centre for the period from 1 January to 30 June 2014, amounting to $741,000, will be included in the proposed programme budget for the biennium 2014-2015;**

(e) **Note that, pursuant to resolution 64/228, an amount of $941,600 for the secondary data centre has been approved under the support account for peacekeeping operations for the financial period from 1 July 2011 to 30 June 2012;**

(f) **Note that future requirements for the secondary data centre in the estimated amounts of $362,200 and $370,500 will be included in the requirements for the support account for peacekeeping operations for the financial periods from 1 July 2012 to 30 June 2013 and from 1 July 2013 to 30 June 2014, respectively.**